

JAN 13 2006

DOCKET NO.: 03AB014A/ALBRP303USA

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: **David D. Brandt et al.**  
 Serial No.: **10/661,239**  
 Filed: **September 12, 2003**  
 For: **SYSTEM AND METHODOLOGY PROVIDING AUTOMATION SECURITY  
ARCHITECTURE IN AN INDUSTRIAL CONTROLLER ENVIRONMENT**  
 Art Unit: **2121**  
 Examiner: **Unknown**

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. §1.97 and §1.98, and in compliance with 37 C.F.R. §1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications; (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published applications(s).

Serial No.: \_\_\_\_\_  
 Filing Date: \_\_\_\_\_

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

(a)  Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.

(b)  Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. §1.97(b) this Statement is being filed (one must be checked):

(a)  Within 3 months of the filing date or date of entry into the National Stage.

(b)  Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.

(c)  Before the mailing date of an Office Action after the filing of a request for continued examination under 1.114.

(d)  After the period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1)  The required certification is given below, or

(2)  Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement:

(i)  Enclosed is a check covering the fee;

(ii)  Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or

(iii)  Enclosed is a credit card payment form covering the fee.

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(2)  Charge the fee set forth in 37 C.F.R. §1.17(i)(1) to Deposit Account No. 50-1063; or

(3)  Enclosed is a credit card payment form covering the fee.

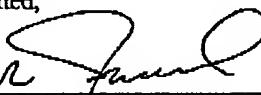
4. Certification (if applicable)

(a)  The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b)  The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.

Respectfully Submitted,

By   
Jeffrey R. Sadlowski  
Reg. No. 47,914

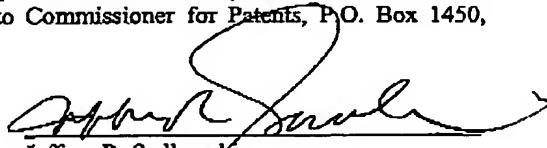
Amin & Turocy, LLP  
24<sup>TH</sup> Floor, National City Center  
1900 East 9<sup>th</sup> Street  
Cleveland, Ohio 44114  
(216) 696-8730

CERTIFICATE OF FACSIMILE

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Date

  
Jeffrey R. Sadlowski

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**SUPPLEMENTAL  
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STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

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|-------|---|----|---|------------------------|---------------------|
| Sheet | 1 | of | 2 | Attorney Docket Number | 0AB014A/ALBRP303USA |
|-------|---|----|---|------------------------|---------------------|

**Complete if Known**

|                      |                    |
|----------------------|--------------------|
| Application Number   | 10/661,239         |
| Filing Date          | September 12, 2003 |
| First Named Inventor | David D. Brandt    |
| Art Unit             | 2121               |
| Examiner Name        | Unknown            |

**U. S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
|                    |                       | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
|                    |                       | US- 2004/0153172                         | 08-05-2004                     | Rousseau et al.                                    |   |
|                    |                       | US- 2004/0075590                         | 04-22-2004                     | Pearson et al.                                     |   |
|                    |                       | US- 2002/0199122                         | 12-26-2002                     | Davis et al.                                       |   |
|                    |                       | US- 2004/0073800                         | 04-15-2004                     | Shah et al.  |   |
|                    |                       | US- 2003/0126472                         | 07-03-2003                     | Benshof  |   |
|                    |                       | US- 2004/0049674                         | 03-11-2004                     | Collier et al.                                     |   |
|                    |                       | US- 2002/0152289                         | 10-17-2002                     | Dube   |   |
|                    |                       | US- 2004/0139353                         | 07-15-2004                     | Fortade  |   |
|                    |                       | US- 2004/0015619                         | 01-22-2004                     | Brown et al.                                       |   |
|                    |                       | US-                                      |                                |  |   |

**FOREIGN PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>or Relevant Figures Appear | T <sup>6</sup> |
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This collection of information is required by 37 CFR 1.87 and 1.99. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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| <p>Substitute for Form 1449B/PTO</p> <p><b>SUPPLEMENTAL<br/>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b></p> <p><i>(Use as many sheets as necessary)</i></p> |                    |    |   | <p><i>Complete if Known</i></p> <table border="1"> <tr> <td><i>Application Number</i></td> <td>10/661,239</td> </tr> <tr> <td><i>Filing Date</i></td> <td>September 12, 2003</td> </tr> <tr> <td><i>First Named Inventor</i></td> <td>David D. Brandt</td> </tr> <tr> <td><i>Art Unit</i></td> <td>2121</td> </tr> <tr> <td><i>Examiner Name</i></td> <td>Unknown</td> </tr> <tr> <td colspan="2"><i>Attorney Docket Number</i></td> </tr> </table> |  | <i>Application Number</i> | 10/661,239 | <i>Filing Date</i> | September 12, 2003 | <i>First Named Inventor</i> | David D. Brandt | <i>Art Unit</i> | 2121 | <i>Examiner Name</i> | Unknown | <i>Attorney Docket Number</i> |  |
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| <i>First Named Inventor</i>   | David D. Brandt    |    |   |   |  |                           |            |                    |                    |                             |                 |                 |      |                      |         |                               |  |
| <i>Art Unit</i>   | 2121               |    |   |   |  |                           |            |                    |                    |                             |                 |                 |      |                      |         |                               |  |
| <i>Examiner Name</i>  | Unknown            |    |   |   |  |                           |            |                    |                    |                             |                 |                 |      |                      |         |                               |  |
| <i>Attorney Docket Number</i>   |                    |    |   |   |  |                           |            |                    |                    |                             |                 |                 |      |                      |         |                               |  |
| Sheet   | 2                  | of | 2 | 0AB014A/ALBRP303USA   |  |                           |            |                    |                    |                             |                 |                 |      |                      |         |                               |  |

## NON-PATENT LITERATURE DOCUMENTS

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
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1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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